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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

10969-006

Total Pages

43

First Named Inventor or Application Identifier

Kee-Woung KIM et al.

Express Mail Label No.

N/A

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form
Submit an original, and a duplicate for fee processing)

2. ☒ Specification [Total Pages 36]
(preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R&D
- Reference to Microfiche Appendix
- Background of the Invention

- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description of the Invention (including drawings, if filed)
- Claim(s)
- Abstract of the Disclosure

3. ☒ Drawing(s) (35 USC 113) [Total Sheets 5]

4. ☒ Oath or Declaration [Total Sheets 2]

- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]

i. ☐ DELETION OF INVENTORS(S)

Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33 (b).

5. ☐ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)

7. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))

9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)

10. ☐ English Translation Document (if applicable)

11. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations

12. ☐ Preliminary Amendment

13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

14. ☒ Applicant claims Small Entity status, see 37 C.F.R. § 1.27

15. ☐ Certified Copy of Priority Document(s)
Was filed in PCT/KR00/01441

16. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

- ☒ Continuation under 35 U.S.C. § 120 of the U.S. National Stage Designation of PCT/KR00/01441, filed December 13, 2000.

18. CORRESPONDENCE ADDRESS

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PENNIE & EDMONDS LLP
COUNSELLORS AT LAW
1667 K Street, N.W.
Washington, D.C. 20006

ATTORNEY DOCKET NO. 10969-006

Date: December 3, 2001

Assistant Commissioner for Patents
Box PATENT APPLICATION
Washington, D.C. 20231

Sir:

The following utility patent application is enclosed for filing:

Applicant(s): Kee-Woung KIM *et al.*

Executed on: November 30, 2001

Title of Invention: PERSONALIZED INVESTMENT CONSULTING SYSTEM IMPLEMENTED ON NETWORK AND
METHOD FOR THE SAME

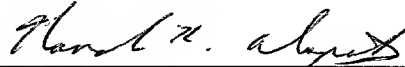
PATENT APPLICATION FEE VALUE

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	16	-20	0	\$18.00 each	\$ 0.00
Independent	6	-3	3	\$84.00 each	\$ 252.00
Minimum Fee					\$ 740.00
Multiple Dependency Fee If Applicable (\$280.00)					\$ 0.00
Total					\$ 992.00
Applicant qualifies for the 50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern					- \$ 496.00
Total Filing Fee					\$ 496.00

- ☐ **DO NOT PUBLISH.** I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).
- ☒ Priority of application nos. 2000-0017219, 2000-0017218, 2000-0017217 and 2000-0017220 filed on April 3, 2000 in Korea, is claimed under 35 U.S.C. § 119 via PCT/KR00/01441, filed December 13, 2000.
- ☒ This is a Continuation under 35 USC 120 of PCT/KR00/01441, filed December 13, 2000.
- ☒ Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is

enclosed.

Respectfully submitted,



Nanda K. Alapati
For: Marcia H. Sundeen
PENNIE & EDMONDS LLP

Reg. No. 39,893
Reg. No. 30,893

Enclosures